

State of Washington  
Department of Financial Institutions  
Securities Division  
PO Box 9033  
Olympia, WA 98507-9033  
(360) 902-8760  
(360) 586-5068 Fax

## INVESTMENT ADVISER INITIAL APPLICATION

Please check one of the boxes:

- ☐ The applicant is a federally registered investment adviser filing for notification purposes only.

Please submit:

- A current copy of your Form ADV
- U-4 investment adviser representative applications for your representatives that have a "place of business in Washington
- A check payable to the State Treasurer in the amount of \$150 for the initial application fee for the investment adviser, and an additional \$40 for each representative that is registering.

- ☐ The applicant is filing for state investment adviser registration.

Please submit:

- The attached Form ADV with notarized original signature
- Current financial statement (balance sheet)
- U-4 investment adviser representative applications for each representative to be registered
- Proof of passing qualifying examinations or holding specified designations for the principal and representatives
- A check payable to the State Treasurer in the amount of \$150 for the initial application fee for the investment adviser, and an additional \$40 for each representative that is registering.

Person to contact if we have questions about this application:

\_\_\_\_\_  
Name

\_\_\_\_\_  
Telephone No.